Section 3

Proposal Application Instructions

Section 3
Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for* ***each*** *item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are* ***strongly*** *encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPOH-200A) is available on the SPO website (see 1.2 Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application is comprised of the following sections:

- *Proposal Application Identification Form*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

3.1 Program Overview (Not to exceed 2 pages)

Applicant shall give a brief overview to orient evaluators as to the program/services being offered. Include:

1. Location of the services
2. How proposed services align with Applicant's mission and vision;
3. Description of the goals and objectives related to the service activity; and
4. How the proposed services will meet the needs and impact the development of the target population.

3.2 Experience and Capability (Not to exceed 5 pages)

A. Necessary Skills

The Applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services. If the Applicant intends to use subcontractors, subcontractors experience shall also be included.

B. Experience

The Applicant shall demonstrate the minimum number of years of experience in providing services requested in the RFP, in addition to providing a description of current projects/contracts pertinent to the proposed services (previous projects/contracts may be considered if relevant). The Applicant shall include points of contact, addresses, e-mail/phone numbers. The State reserves the right to contact references to verify experience. If the Applicant intends to use sub-contractors, the experience of the identified subcontractors must also be included.

C. Quality Assurance and Evaluation

The Applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. The quality assurance plan shall indicate how the applicant will monitor compliance with the terms of the agreement and adherence to internal policies and procedures, and shall include how corrective action will occur. The evaluation plan shall address the effectiveness of program delivery (process evaluation).

D. Coordination of Services

The Applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

If the Applicant intends to use subcontractors, draft Memorandums of Agreement shall be included in the proposal.

E. Facilities

The Applicant shall provide a description of the program site facility and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities will meet ADA requirements, as applicable, and special equipment that may be required for the services.

3.3 Project Organization and Staffing (Not to exceed 3 pages)

A. Staffing

1. Proposed Staffing

   The Applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. (Refer to the personnel requirements in the Service Specifications, as applicable.)

2. Staff Qualifications

   The Applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. Attach position descriptions and resumes for the Applicant's administrative staff (director, deputy, chief financial position, program administrator, etc.) in addition to position descriptions for the proposed program staff. (Refer to the qualifications in the Service Specifications, as applicable.)

B. Project Organization

1. Supervision and Training

   The Applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services.

2. Organization Chart

   The Applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency) Both the "Organization-wide" and "Program" organization charts shall be attached to the Proposal Application.

3.4 Service Delivery (Not to exceed 20 pages)

Applicant shall include a detailed discussion of the approach to applicable service activities and management requirements found in Section 2, Item III. - Scope of Work for the service area that the applicant is proposing services.

The discussion of the proposed service delivery shall include:

2. A brief summary of the organization's philosophy and service framework and describe how the framework reflects/ relates to the OYS philosophy regarding the delivery of services for youth.

3. A work plan of all activities and tasks to be completed, related work assignments, responsibilities, and service plan that clearly articulates the overall service flow from program entry to program completion, as appropriate.

4. A timeline / schedule of steps to be taken in planning and implementing the required services and related activities.

5. Details of how the proposed work plan and service activities are consistent with the outcomes and objectives, service framework, principles of program delivery and characteristics of effective programs.

6. A summary of pertinent risk and protective factors and community needs, assets, and resources that relate to or address the proposed service delivery.

The description shall also include adequate information to address and/or identify the following, as appropriate:

1. The evidence-based model/s or strategy/s to be used;
2. The justification for selecting the model/s;
3. The assessment instrument/s that will be used;
4. Training that will be provided for staff;
5. Curriculum that will be used for the program delivery;
6. The target behavior that the program activity will change;
7. The measure/s the applicant will use to determine change of behaviors, attitudes, and/or skills of program participants; and/or
8. The arrangements for evaluation to assess the program effectiveness and impact on the target population.

Applicants should refer to Section 2, Item III. – Scope of Work for additional requirements and details to include in proposals specific to the service areas requested below:

• Section **2A - Safe House Group Home for Males Oahu**
• Section **2B – Safe House Group Home for Males Maui**
• Section **2C – Safe House Group Home for Males Kona, Hawaii**

3.5 Financial

A. Pricing Structure

Applicant shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency (cost reimbursement). The cost proposal shall be attached to the Proposal Application.

All budget forms, instructions and samples are located on the SPO website (see Section 1, paragraph II Websites referred to in this RFP). The following budget form(s) shall be submitted with the Proposal Application:

SPO-H-205	Budget
SPO-H-206A	Personnel - Salaries & Wages
SPO-H-206B	Personnel - Payroll Taxes and Fringe Benefits
SPO-H-206C	Travel - Inter-Island*
SPO-H-206D	Travel - Out-of-State*
SPO-H-206E	Contractual Services-Administration
SPO-H-206F	Contractual Services-Subcontracts
SPO-H-206G	Depreciation
SPO-H-206H	Program Activities
SPO-H-206H	Equipment Purchase*
SPO-H-206J	Motor Vehicle

*Expenditures require justification and prior approval.

B. Other Financial Related Materials

1. Accounting System

   In order to determine the adequacy of the Applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal:

   a. Latest Single Audit Report of Financial Audit.

   b. Cost Allocation Plan, which demonstrates Applicant's expenditures are allocated based on a plan that is reasonable, appropriate, and lawful.

2. Accounting Personnel

a. Applicant must state which staff positions are responsible for maintaining accounting records and fiscal reporting and approximately the number of hours a week that are devoted to this function.

b. Applicant shall describe what accounting qualifications are required for each of these positions if not detailed in the submitted Section III: Personnel: Project Organization and Staffing.

c. Applicant shall state which staff positions will be responsible for filing timely expenditure reports and invoices required by this RFP.

3.6 Other

A. Litigation

The Applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

Section 4

Proposal Evaluation

Section 4
Proposal Evaluation

4.1 Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

4.2 Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

A. Evaluation Categories and Thresholds

Evaluation Categories	Possible Points
Administrative Requirements	**N/A**
Proposal Application	**100**
Program Overview	0
Experience and Capability	20
Project Organization and Staffing	15
Service Delivery	55
Financial	10
TOTAL POSSIBLE POINTS	**100**

4.3 Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

    a. Application Checklist

    b. Certificate of Vendor Compliance
    NOTE: if Applicant has not registered with Hawaii Compliance Express, the Applicant must provide a *Tax Clearance Certificate* and a *Certificate of Good Standing.*

2. Proposal Application Requirements

    a. Proposal Application Identification Form (Form SPO-H-200)
    b. Table of Contents
    c. Program Overview
    d. Experience and Capability
    e. Project Organization and Staffing
    f. Service Delivery
    g. Financial (All required forms and documents)
    h. Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of Proposal Application (100 Points)

Ensure that each section is answered completely and thoroughly. Each section shall be scored individually and separately from another section. Applicants are responsible to place the appropriate information in each section to be scored.

The RFP Review Committee shall use the scale in the table below to rate each section from the RFP from "Not Addressed" to "Very Satisfactory". The percentage for the rate level will be multiplied by the maximum number of points for that item. For example, if an item is worth 6 points and the reviewer rated it as a "3 Satisfactory", the score for that item would be 3.6 (60% (.06) x 6 = 3.6)

0	1 (20%)	2 (40%)	3 (60%)	4 (80%)	5 (100%)
Not addressed	Unsatisfactory	Somewhat satisfactory	Satisfactory	More than satisfactory	Very satisfactory

Rating scale definitions:

Not Addressed: The required information was not present in the proposal.

Unsatisfactory: A major item was not addressed or was addressed incorrectly, or was addressed in the wrong category.

Somewhat Satisfactory: A somewhat adequate response was presented. Applicant appears to have restated the requirements in the RFP.

Satisfactory: All major items were addressed. Applicant provided an adequate response.

More than satisfactory: Applicant provided a strong response that was more than adequate, all major items were addressed.

Very satisfactory: Applicant thoroughly addressed all items in an exceptionally clear, concise, or original manner.

Program Overview: No points are assigned to Program Overview. The intent is to give the Applicant an opportunity orient evaluators as to the service(s) being offered in response to the Request for Proposals. The Applicant shall highlight the agency's mission and vision and the goals and objective of the proposed service activity relative to the assessed needs and available resources of the target population and geographic region identified for the service delivery.

1. **Experience and Capability (20 Points)**

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

a. Necessary Skills **3**
- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services.
- Demonstrate skills, abilities and capacity to deliver proposed services in the identified geographic region for the target population.

b. Experience **5**
- Demonstrate minimum three (3) years experience delivering services related to request for services.
- Demonstrate experience successfully delivering services for the target population. Document evidence such as awards, certificates, and outcomes.

c. Quality Assurance and Evaluation **4**
- Sufficiency of quality assurance and corrective action, including methodology.
- Sufficiency of evaluation plans to assess program implementation, fidelity to program model, and youth participation and success in the service program.

d. Coordination of Services **3**
- Demonstrated capability to coordinate services with other agencies and resources in the community. Past Memorandum of Agreements/Understanding, letters document this ability.
- Sufficiency of collaboration and coordination plans related to implementation of proposed services.
- Documented support and involvement of agencies and community for proposed services. Draft MOA/MOUs with proposed sub-contractors.

e. Facilities **5**

- Adequacy of facilities relative to the proposed services.
- Facilities meet ADA requirements, as applicable.

2. Project Organization and Staffing (15 Points)

The State will evaluate the applicant's overall staffing approach to the service that shall include:

a. Staffing

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. **4**
- Staff Qualifications: Job descriptions and minimum qualifications (including experience) for staff assigned to the program are included. The number of program service positions is sufficient to ensure effective program/service delivery. **4**
- Proposal includes resumes of key staff that list experience with related or similar services and target population

b. Project Organization

- Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. **4**
- Organization Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks is diagramed. **3**

3. Service Delivery (55 Points)

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the Proposal Application Instructions and **Section 2. III-Scope of Work** for each service area (a-c) of the RFP. It is recommended that applicants review the evaluation criteria for the service delivery section of the specific service they are proposing to deliver.

• Service Framework includes the Native Hawaiian Educational Council's seven guiding themes and trauma informed care.	**4**
• Basic components incorporated into the proposed program includes: a coordinated approach, community involvement, building community relations, cultural awakening and identity, youth involvement, age-, gender-, and developmentally-appropriate for the target population and is responsive to the target population	**6**
• Comprehensive description of services to be provided includes healthful and safe environment; supervision; screening for program appropriateness; risk and needs assessment; behavioral management plan; family involvement/family strengthening; education; culturally appropriate placed based education; recreation and leisure time management; cognitive behavioral training; life skills building; positive peer relationships; case management; relapse prevention; substance abuse services; transitional planning and follow-up services; referral to appropriate resources; and, participation in meetings with representatives of the Hawaii Youth Correctional Facilities (HYCF) Family Court (FC), Departments of Human Services (DHS), Education (DOE), and Health (DOH) and other pertinent agencies.	**10**
• Service activity supports the service goals and addresses risk and protective factors and aspects of youth development, as well as identifies the areas of competencies to be developed and/or enhanced.	**5**
• The engagement of and planned service activity for the target population is described and appropriate.	**5**
• The service activity is consistent with the required service framework and principles for effective program delivery.	**5**
• The provision of major meals, beverages, and snacks, and transportation to court hearings, medical, dental, and other appointments in the community.	**3**
• Performance measures (targets and milestones)	**3**

have been established for participants.

- Sample curriculum and materials provide evidence the planned activity and service delivery are based on effective practices. **3**
- The work plan for the major service activities clearly articulates the overall service flow from program entry to program completion with tasks that are logical and includes clarity in work assignments and responsibilities and realistic timelines and schedules, as applicable **4**
- The program design includes plans to assess the impact of the services and the process for modifying the program design based on the assessment. **5**
- The staffing ratio, youth safety and supervision, and reporting of significant incidents are identified. **2**

4. Financial (10 Points)

- Cost proposal and required support documentation and justification included. **1**
- Personnel costs are reasonable and comparable to similar positions in the community. **2**
- Non-personnel costs are reasonable and adequately justified. **1**
- Proposed budget fully supports the service activity and requirements of the RFP. **3**
- Adequacy of accounting system (evidence of valid tax clearance, recent audit, and cost allocation plan). **1**
- Positions and personnel responsible for fiscal operations and reporting identified and qualified. **1**
- Staff responsible for maintaining accounting records and filing required expenditure reports identified. **1**

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

Section 5

Attachments

A. Proposal Application Checklist

B. Sample Table of Contents

C. Performance Plan, OYS Form 4-1

D. A Crash Course on the Outcomes Framework

Proposal Application Checklist

Applicant: RFP No.: HMS 501-11-03

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the purchasing agency as part of the Proposal Application. SPOH forms ore on the SPO website. See Section 1, paragraph II Website Reference.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*	X	
Cost Proposal (Budget)			X	
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*		
Certifications:				
Federal Certifications		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Performance Plan, Form 4-1	Section 2, RFP	Section 5, RFP	X	

Authorized Signature

Date

Organization: ________________
RFP No: ______________

Proposal Application
Table of Contents

Office of Youth Services

OUTCOMES PLAN & PROGRAM REPORT

☐ **(Submit Original and Two Copies For Each Target Group)**

Note: To **X** a ☐, Double Click On It, Select "Checked" Option

Outcomes Plan Number (Check One): ☐ 1 Target Group ☐ 2 Target Group	**This Document Is Submitted As (Check One Only):**		**Date Submitted**	**Prepared By (Signature)**	**Date Approved**	**Approved By (Signature)**
Contract Number: DHS _____ OYS _______	☐	Initial Outcomes Plan (After Approval, May Not Be Revised Without OYS Consent)	_/_/_		_/_/_	
Agency:	☐	Quarterly Program Report for (Check One): ☐ 1st ☐ 2nd ☐ 3rd ☐ 5th ☐ 6th ☐ 7th Quarter	_/_/_		_/_/_	
☐ **Contract Start Date: ___/___/___**	☐	(Check One) ☐ One Year Report (4th Quarter) or ☐ Two Year Report (8th Quarter)	_/_/_		_/_/_	
☐ **Contract End Date: ___/___/___**	☐	A Request for Revision (**Boldface** Requested Changes). Fill Out Request for Revision Section in Form 4-1.	_/_/_		_/_/_	

Target Group Description

☐ **Ethnicities Targeted** (Check One or More)	
☐ **All Ethnicities**	☐ Marshallese
☐ American Indian	☐ Micronesian
☐ Black	☐ Mixed (Not Hawaiian)
☐ Cambodian	☐ Other Asian
☐ Caucasian	☐ Other Pacific Islander
☐ Chinese	☐ Portuguese
☐ Filipino	☐ Puerto Rican, Hispanic
☐ Hawaiian (Part, Full)	☐ Samoan
☐ Japanese	☐ Tongan
☐ Korean	☐ Unknown
☐ Laotian	☐ Vietnamese
	☐ Other
Age Range Targeted (Between 5 – 19 Years) ____ To ____	**Gender:** ☐ M ☐ F ☐ MF

☐ **Risk Level Targeted** (Check One Level Only) ☐	
☐	☐ **Risk Level I** • At-risk for violence, substance abuse, and/or criminal activity due to geographic, ethnic, or socioeconomic factors.
☐	☐ **Risk Level II** Any One of the Following: • Status offender: Chronically truant, runaway. • Involved in gangs, violence, or substance abuse. • Experiencing serious family problems. • Abused and/or neglected.
☐	☐ **Risk Level III** Any One of the Following: • Any characteristic of Level II, but also has immediate need for food, shelter, clothing, and/or medical treatment. • Involved in felony activity. • Court adjudicated. • At-risk for out-of-home placement. • At-risk for secure confinement.
☐	☐ **Risk Level IV** • Chronic serious offender requiring secure confinement for safety of public and/or of self.

☐ **Service Areas Targeted** (Check One or More)	
☐ Statewide (All Islands)	☐ Kauai (All)
☐ Oahu (All)	☐ Kauai: Kokee, Hanalei, Kilauea
☐ Oahu: Central	☐ Kauai: Waimea, Koloa, Niihau
☐ Oahu: Honolulu	☐ Maui (All)
☐ Oahu: Leeward	☐ Maui: Lahaina, Waihee
☐ Oahu: Windward	☐ Maui: Wailuku, Kahului, Kihei
☐ Hawaii (All)	☐ Maui: Kula, Haiku, Makawao Keanae, Hana, Paia
☐ Hawaii: Hamakua	☐ Maui: Lanai
☐ Hawaii: Kohala, Waimea	☐ Maui: Molokai
☐ Hawaii: Konawaena, Kailua-Kona	
☐ Hawaii: Keeau, Pahoa	
☐ Hawaii: Naalehu, Kau	

Performance Targets and Milestones: Report (Unduplicated by Quarters)

❑

PT	Performance Target & Milestones				1st		2nd		3rd		4th		❑ One Year		5th		6th		7th		8th		❑ Two Years		
1	Performance Target (Arial Narrow, 8 Point Type):			#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	❑	❑	A	Two Year Goal	2YTD Actual	*Releases To Date
	PT Type:																								
		Milestones	Sources of Verification																						
	a.	Milestone (Registration):																							
	b.	Milestone:																							
	c.	Milestone:																							
	d.	Milestone:																							
	e.	Milestone:																							
	f	Milestone:																							
	g	Milestone:																							
	h.	Milestone (Last Milestone Is the Performance Target):																							

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Performance Targets and Milestones: Report (Unduplicated by Quarters)

❑

P T	Performance Target & Milestones				1st		2nd		3rd		4th		❑ One Year		5th		6th		7th		8th		❑ Two Years		
2	Performance Target (Arial Narrow, 8 Point Type): PT Type:			#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	❑	❑	A	Two Year Goal	2YTD Actual	*Releases To Date
		Milestones	Sources of Verification																						
	a.	Milestone (Registration):																							
	b.	Milestone:																							
	c.	Milestone:																							
	d.	Milestone:																							
	e.	Milestone:																							
	f	Milestone:																							
	g	Milestone:																							
	h.	Milestone (Last Milestone Is the Performance Target):																							

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

❑

Performance Targets and Milestones: Report (Unduplicated by Quarters)

❑

P T	Performance Target & Milestones				1st		2nd		3rd		4th		❑ One Year		5th		6th		7th		8th		❑ Two Years		
3	Performance Target (Arial Narrow, 8 Point Type): PT Type:			#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	❑	❑	A	Two Year Goal	2YTD Actual	*Releases To Date
		Milestones	Sources of Verification																						
	a.	Milestone (Registration):																							
	b.	Milestone:																							
	c.	Milestone:																							
	d.	Milestone:																							
	e.	Milestone:																							
	f	Milestone:																							
	g	Milestone:																							
	h.	Milestone (Last Milestone Is the Performance Target):																							

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

Performance Targets and Milestones: Report (Unduplicated by Quarters)

P T	Performance Target & Milestones				1st		2nd		3rd		4th		❑ One Year		5th		6th		7th		8th		❑ Two Years		
4	Performance Target (Arial Narrow, 8 Point Type):			#Carryovers	P	A	P	A	P	A	P	A	Year Goal	YTD Actual	P	A	P	A	P	❑	❑	A	Two Year Goal	2YTD Actual	*Releases To Date
	PT Type:																								
		Milestones	Sources of Verification																						
	a.	Milestone (Registration):																							
	b.	Milestone:																							
	c.	Milestone:																							
	d.	Milestone:																							
	e.	Milestone:																							
	f	Milestone:																							
	g	Milestone:																							
	h.	Milestone (Last Milestone Is the Performance Target):																							

*Release = No Shows, Released for Misconducts, Dropouts, Transferees/Referrals. Do Not Release Youths Who Complete the Program.
#Carryovers = Numbers of Youth Carried Over from the Previous OYS Contract

❑ Narrative for Quarterly Report

- ❑ **Do Not Submit As Initial Outcomes Plan**
- ❑ **Fill In Answers After Each Question**

Submit A New Narrative Each Quarter

During the past Quarter:

1. What were your agency's major accomplishments towards achieving the performance targets and milestones established for this program? What activities proved to be especially effective?

2. In reviewing the Scope of Services for this program, which components of the Scope has your agency successfully implemented or achieved? Which components are you having difficulty implementing or achieving? Why?

3. What problems did this program have to deal with, in terms of staffing, program planning and administration, outcomes monitoring and reporting, communication, youth participation, finances, or communication with the OYS? How were these problems resolved? If the problems were not resolved, what are the plans for resolving these problems?

4. Please provide other comments or observations that will help the OYS understand the progress of this contract at this time?

Addendum for the 4th and 8th Quarter Reports

5. Which performance targets and milestones were achieved, which were not? If performance targets and milestones were not achieved, why not?

6. Please describe any curriculum model or program activity that proved to be especially effective.

7. Can the OYS help you with program design or implementation? How? What changes would you make to program design?

8. What other comments or observations do you have that will help the OYS understand the progress of this contract?

❑

❑ Request for Revision

❑

This Form 4:1 is being submitted as a Request for Revision of an Outcomes Plan previously submitted and approved. The **boldfaced** items have been changed in the Outcomes Plan. The changes are described below. Upon OYS approval of all proposed changes, this Form 4-1 becomes the agency's revised Outcomes Plan.

Change Number	Change Is Requested in the Following (Quote Original Language from the Approved Outcomes Plan)	Change Is Requested As Follows (Type in the New Language That Reflects the Requested Change)	Reasons for Requesting the Change
1			
2			
3			

Submitted By:

Date: ____/_____/__________

❑ **For OYS Use Only**

Approved by: Specialist: ________________________ Date: ____/_____/______

If approved, changes are effective as of:
Date: ____/_____/__________

❑ Target Type Codes

Place the Target Type Number Next to Each Performance Target in Form 4-1.

No.	Brief Description
1.	Decreased Arrests (Including Diversion, DMC)
2.	Improved or Increased School Attendance
3.	Improved or Increased Community Service
4.	Education (of Youth)
5.	Improved Self-Esteem
6.	Improved Family, Personal Relationships
7.	Decreased Gang, Delinquency Activity
8.	Improved G.P.A.
9.	Increased Health, Physical Competencies
10.	Increased Personal, Social Competencies
11.	Decreased Substance Abuse
12.	Training (of Adults)
13.	Decreased Violence, Anger
14.	Vocational Education, Training (Youth)

The Office of Youth Services Commitment to Results Accountability and the Outcomes Framework

The Office of Youth Services (OYS) continues to support the outcomes framework to guide programmatic efforts to provide effective programs and services for youth; verify that public resources are expended in an effective and accountable manner; procure services that truly impact our youth in a significant and sustained way; and verify that contracted agencies achieve the intended program "outcomes."

It is vital that youth service agencies understand and commit to the application of the outcomes framework (outcomes, performance targets and milestones) in providing services contracted by the OYS. Performance results will continue to be viewed and outlined based on the outcomes framework and provide the foundation on which statewide services supported by the OYS are developed, implemented, maintained, and evaluated.

Definitions of Key Concepts and Terminology

Clarity about key concepts and terminology is essential to effectively using the outcomes framework. Many of these terms are used in our workplaces and by other funders. Unfortunately, there is little consistency in the use of the terminology between different arenas. Therefore, it is essential that you be aware of the potential for variation and be prepared to translate your work accordingly.

The key concepts and terms below are defined in accordance with their application by the Office of Youth Services. To aid in your ability to translate the definition appropriately for your workplace or other funders, we have included alternative terms that are often used to describe the same concept. Please be aware that the alternative list of terms may be not be comprehensive.

1 Program Outcome

- Expresses the agency's ideal state: ***"All children and youth will lead drug-free lives."***
- Often represents a portion of the agency's over-arching purpose or mission.

Alternative Terms:

- Program Mission
- Program Goal
- Community-Level Outcome

2 Performance Target

- The anticipated amount of ***change in the program participants*** that occurs as a ***consequence of the service provided*** by the agency.

- The performance target will address changes in the program participants in one or more of the following areas:

  ✓ **Skills & knowledge**
  ✓ **Behavior**
  ✓ **Attitude**
  ✓ **Environment**

Example:

40 of the 100 youth participating in the Individualized Educational Counseling Program will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75 within 6 months of entering the program, and maintain or improve on these gains for an additional 6 months.

- In some cases, such as the Office of Youth Services, the performance target has been established by the funder. The performance target may be stated in the Request for Proposal.

- The performance target ***does not*** ***reflect the actions or behaviors of the agency's staff members in the delivery of program services*** *(see Program Activities).*

Alternative Terms:

➢ Results
➢ Outcomes
➢ Impact
➢ Product
➢ Success
➢ Goal
➢ Objective

3 Milestones

- ***Intermediate actions made by program participants*** that indicate they are ***on the path to successfully achieving the performance target.***

  Example:

  If the *performance target* for an educationally at-risk youth is to graduate high school, ***milestones*** on the path to graduating might be:

  1. ***attend school***
  2. ***do homework and class work***
  3. ***do homework and class work successfully***
  4. ***improve grades***
  5. ***pass all tests***

- The milestones ***do not** reflect the actions or behaviors of the agency's staff members in the delivery of program services* *(see Program Activities).*

- Milestones ***begin at the agency's first point of contact*** with program participants and ***typically conclude after a follow-up period*** is completed after the conclusion of direct services. This may vary by program.

- ***Agencies choose which milestones to track and report***, in agreement with their monitoring bodies or funder, such as the Office of Youth Services, ***that most effectively communicate the success of program participants in achieving the performance target.***

- Agencies need to ***think strategically*** about which milestones most effectively communicate their success with program participants, and at the same time can be efficiently documented on an ongoing basis. Typically, agencies should not attempt to collect data on all the milestones that occur, as this would be too time consuming and costly.

Alternative Terms:

- Mini-outcomes
- Program data on participants' changes
- Objectives

4 Milestone Funnel

- A ***method for tracking and reporting participants' achievement of milestones.*** This method is used as a means of ensuring accountability. It is used primarily by government funders that have a responsibility for monitoring the effective use of taxpayer dollars invested for the community good.

- The milestone funnel ***presumes a linear program structure*** where program participants enter the program services and engage in a series of progressively improving changes that ultimately lead to the achievement of the overall performance target. The milestone funnel ***may be modified to accommodate non-linear program services.***

- The ***"funnel" concept represents a belief that many participants will make progress towards the overall performance target, achieving some, but not all of the milestones.*** Consequently, the reported numbers show the largest amount of participants at the point of entry and decreases over the number of milestones, thus creating the "funnel effect."

Sample Milestone Funnel:

Milestone	Anticipated # Achieving Milestone
1. Agree to participate in individualized educational counseling	100
2. Attend school regularly	60
3. Do homework/classwork	30
4. Do homework/classwork successfully	20
5. Improve grades	17
6. Pass all required tests	15

Performance Target:
Educationally at risk youth graduate from high school — **15**

4 Milestone Funnel continued

- Over time, the ***analyzed data of the milestone funnel should lead to insights about how to improve program services to enable more participants to increase their successes*** and move further along on their milestones.

Alternative Terms:

- Reporting form
- Program Flow
- Service Flow

5 Indicators

- The ***means of verification, through direct or indirect measures, of the successful achievement*** of the milestones and/or performance target.

- Regularly ***observable*** events or behaviors that suggest program participants are making the desired changes leading to the performance target, or that the performance target has been achieved.

Examples:

✓ ***Self-report***
✓ ***Report from spouse and friends***
✓ ***Teacher report***
✓ ***Staff member observation***
✓ ***Home visit report***
✓ ***Disinterested third-party documentation, such as attendance records, report card, employer confirmation, pay stubs, etc.***
✓ ***Pre-post test***
✓ ***6 month follow-up phone interview***

Alternative Terms:

➢ Measures of success

6 Program Activities

- The ***work performed by program staff***. The services program staff provide that are intended to help program participants create change in their lives.

Examples:

✓ ***Outreach***
✓ ***Intake***
✓ ***Leadership development workshop***
✓ ***Individualized counseling***
✓ ***After school tutoring***

- Health and human service programs, whether nonprofit or public, believe that the provision of quality activities by competent staff members enable program participants to create valuable changes in their lives. Therefore, ***program activities are essential to the achievement of the participants' milestones and performance target.***

- Program activities ***do not*** ***reflect changes in skills & knowledge, behavior, attitude or environment that occur for program participants.***

- The program activities employed by an agency are ***a reflection of the theory of change it holds for its participants***, based on its underlying philosophy, assumptions and values.

Alternative Terms:

- Outputs (the activity and volume at which it occurs)
- Methodology
- Program service delivery
- Process

6 Program Activities continued

Example:

Program Actions: What Program Staff Do	**Participant Expected Actions:** What Participants Do as a Result (Milestones)	**Anticipated Results:** # Expected to Achieve Milestone
Outreach and intake	1. Agree to participate in individualized educational counseling	100
Wake up call/Transportation	2. Attend school regularly	60
After school tutoring	3. Do homework/classwork	30
After school tutoring	4. Do homework/classwork Successfully	20
Test taking coaching	5. Improve grades	17
Test taking coaching	6. Pass all required tests	15
	Performance Target: Educationally at risk youth graduate from high school	15

Establishing a Performance Target

Now that we have a firm handle on the key terms involved in the outcomes framework, we turn our attention to the process of developing a performance target. ***A well articulated performance target has the following elements clearly identified:***

- **WHO** is being served in the program (the target population)
- **WHAT** change is expected for the program participants (in skills & knowledge, behavior, attitude and/or environment)
- **HOW MUCH** change is expected for the program participants
- **BY WHEN** the change is expected for occur for the program participants
- **AS INDICATED BY** regularly observable and verifiable signs that desired changes have occurred

Succinctly put, a performance target **answers the question, "What is success?"**

Sample Performance Target:

	For the program year 2004-05,
• WHO	of the 100 educationally at-risk youth registered in the individualized educational counseling program,
• WHAT and HOW MUCH	40 will reduce their absenteeism by 50% and improve their grade point average by a minimum of .75
• BY WHEN	within 6 months of entering the program and maintain or improve on these gains for an additional 6 months
• AS INDICATED BY	as indicated by their attendance record, quarterly report cards, and teacher reports.

Identifying Milestones

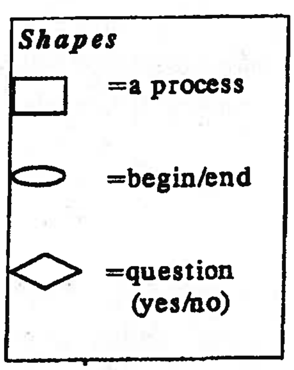
Identifying milestones leading to the achievement of the performance target is essential to the outcomes framework. It requires an understanding of both program activities and the changes occurring for the program participants. We need to understand when the cumulative efforts of program activities can be expected to result in observable change among program participants.

If we try to generate milestones by brainstorming a list of observable changes among program participants, it is likely the list will be incomplete, in random order and include many program activities. There is a tool called ***process mapping***, or flow charting, that is very helpful in identifying, in detail and in order of occurrence, both program activities and the milestones leading to the achievement of the performance target.

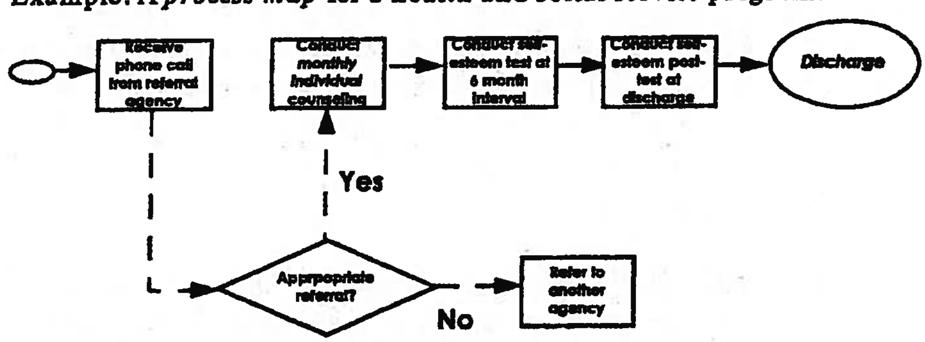
Process maps can be very general, using a few broad steps to indicate major process areas. Or they can be very detailed, breaking out each single step in the process. Although the latter option can be a bit tedious in the development, this detailed view of program service delivery, outlining both staff and participant actions, is extremely useful in developing a common understanding of the program and aids in the design of the milestone funnel.

Although many examples of process maps are drawn in a linear fashion, they do not need to be limited in that manner. In fact, process maps are very useful in showing how some services loop back to other services, or how many pathways lead to a common change or activity later on.

Sample Process Map



Example: A *process map* for a health and social service program.



Tips for Process Mapping

1. Suggested materials:
   - Large sheet of paper
   - 3 x 5 in. post-its or colored markers
   - A general or detailed understanding of the program services

2. **Optional:** Utilize three shapes to help indicate the type of activity occurring. An oval indicates the beginning and the end of a series of process steps. A square indicates a step in the process. A diamond indicates a yes/no question, for example, "Is the participant eligible for services?" Arrows are used to connect the shapes and show the direction of action. If this feels too complicated, just use the squares and arrows. Using post-its allows flexibility in adding items or changing the order.

3. Come to the process map from the perspective of a program participant.

4. Begin with how the program participant enters into the program services. (self-referred, referred by others, make a phone call, receive a flyer, etc.). Make sure you list all the avenues by which participants may enter the program.

5. Once participants have entered the program, map the actions that occur. Try saying, "First we (staff) do this. Then what happens? Do participants do something in response? Is there another staff action that must occur next?" Keep in mind that staff actions will be more numerous than program participant actions, but you want to capture both.

6. **NOTE: Program participant actions represent milestones on the participant's pathway to successfully achieving the performance target.**

7. Map all the variations that occur following any yes/no questions. "If this happens, then what?"

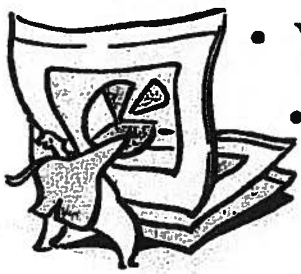
8. Map all the ways in which program participants depart the program. This includes the ideal scenario of successful completion of the performance target and intermediate junctures when participants leave without completing the entire program.

Using the Process Map to Create Your Milestone Funnel

- Use the process map to ***identify program participant milestones.*** Write them down, in order, on the milestone funnel (see Milestone Worksheet on next page).

- You may have more milestones than you want or can afford to track properly for monitoring purposes. ***Select the most critical milestones that can be verified and that clearly relate to the achievement of the performance target.***

- You should ***seek agreement*** with your funder that the milestones you have outlined to achieve the desired performance target will satisfy their reporting requirements.



- Your next step is to ***implement data collection.***

- All this process mapping, milestone funneling and data collection is a lot of work if you use it for reporting purposes only. ***Analyze the data and look for information that will help you improve your program services*** and increase the number of program participants who achieve the desired performance target.

Great Ways to Use the Process Map

- Sitting back and looking at the completed picture after you have drafted the process map, then writing down your ***observations for improvements.*** Once the map is outside of our heads we often see ***great opportunities for streamlining or improving the process.***

- Ensuring all ***staff members share a common understanding of the work*** they are engaged in and ***have appropriate expectations for program participants.***

- ***Training and orientation*** for new staff.

- ***Educating board members,*** particularly those on the Program Committee.

Participant Steps: MILESTONES Worksheet

Program Actions: What PROGRAM STAFF Do	**Expected Participant Actions:** What PARTICIPANTS Do As a Result	**Anticipated Results:** Number Expected to Achieve	**Verification:** How You Know Participants Achieved
1.	1.	1.	1.
2.	2.	2.	2.
3.	3.	3.	3.
4.	4.	4.	4.
5.	5.	5.	5.
6.	6.	6.	6.
7.	7.	7.	7.
8.	8.	8.	8.
9.	9.	9.	9.
10.	10.	10.	10.
	Performance Target Statement:	**Anticipated Level of Achievement:**	**Verification of Performance Target:**

Critiquing a Milestone Funnel

Below is a suggested process for reviewing a milestone funnel and assessing whether or not it meets the quality required.

1. Read the performance target.

2. Read the milestones.

3. Do the milestones seem connected to the performance target?

4. Do the milestones appear to be in a logical order?

5. Are there any significant gaps in milestones? *(Keep in mind that you have been advised not to track everything, and to only track actions that can be verified.)*

6. Do the milestones represent changes in the participants *(not agency staff activity)*?

7. Do these milestones logically lead the achievement of the performance target?

8. Read the numbers.

9. Do they add up properly?

10. Do they funnel?

11. How has the carry forward of program participants from the proceeding year been handled?

12. How are you documenting the achievement of milestones and the performance target?

13. This is a reporting form of selected measures – do the milestones represent critical steps or are they trying to do too much?

Common Mistakes

1 Confusing Program Activities for Milestones

The most common mistake in identifying performance targets and milestones is the **misidentification of program activities or services as the change occurring for program participants.** While it is true that the program services assist participants in creating change in their lives, they represent the process by which agencies guide change, not the change itself.

Here is an easy test that will allow you to **distinguish performance targets and milestones from activities and outputs.** When considering the item, ask yourself whose behavior the item refers to. For example:

- If you find yourself saying, "**WE** do this activity," you are ***describing program activities and outputs*** - the work staff performs.
- If you find yourself saying, "**THEY** do this activity" or "**THEY** take this action", you are describing ***milestones or performance targets*** - the observable changes made by program participants.

Example:

Program Activities and Outputs **for Youth Employment Training Program** (Annual Figures)

- ***We provide # of orientations***
- ***We provide # of Positive Lifestyle workshops***
- ***We provide # of leadership/team-building events***
- ***We provide # of employment skills development workshops***
- ***We provide # of follow-up assessments***

Performance Target **for Youth Employment Training Program**

Of 40 high school youths, 24 will have obtained one or more of the following within 1 semester of program participation:

- ***They** will perform 10 hours of job shadowing and/or volunteer opportunities*
- ***They** will do an internship*
- ***They** will have an interview with a prospective employer*
- ***They** will demonstrate job skills (such as commitment, career interest attitude, importance of appearance and presentation)*
- ***They** will gain employment*

2 Milestone Funnels that Don't Funnel

Milestone funnels that don't funnel are an extremely common occurance. Check your process map to see if you have dis-ordered the steps that lead to the next logical step in the change process for the majority of program participants.

Remember, the milestone funnel presumes a linear program structure. If your program services are not linear, then it is likely that your milestone funnel isn't funneling clearly. If you have a non-linear process map and have difficulty translating it into the milestone funnel, don't despair. You have several alternatives.

a. Keep in mind that your job is to **fairly represent the real changes** program participants are making through your services. ***Do not attempt to represent your entire program service capabilities through the milestone funnel.*** Odds are it won't work. Think of it as a snapshot.

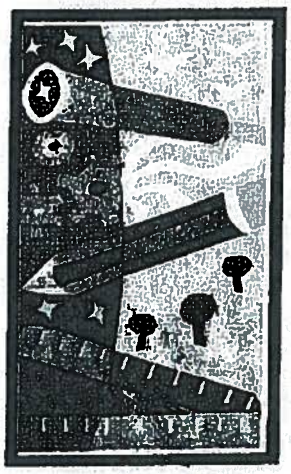
b. Talk to your funder. Seek advice.

c. Ask for technical assistance.

About
HAWAI'I COMMUNITY SERVICES COUNCIL

Our Mission

Hawai'i Community Services Council strengthens the community and builds for the future through cross-sector planning and technical assistance.



Our Vision

To be a bridge-builder, community connector, needs identifier, solution initiator and capacity-builder.

Our Purpose

For more than a century, HAWAI'I COMMUNITY SERVICES COUNCIL (HCSC) has worked to improve our community. Today, HCSC's focus is to lead systemic change and to help nonprofits to be more efficient and effective.

The Council convenes public and private stakeholders to develop shared visions and seek innovative, collaborative solutions that effectively manage community resources. We work to identify community needs and create plans to meet them. We are a listener, planner, researcher and facilitator. We help to connect funders and service providers.

How we can help you

If you have specific questions about the material in this manual, please call us at 808-529-0453.

HCSC delivers technical assistance and capacity-building training for nonprofits focused in 4 major areas:

- **Strategic Planning**
- **Outcomes Design & Implementation**
- **Board Governance**
- **Nonprofit Leadership & Management**

The Council also provides facilitation and consulting services related to strategic planning and evaluation.

For more information about how we can work with your nonprofit or community group, please call us at 808-529-0466 or visit our website at www.hcsc-hawaii.org.